

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Richard E. Smalley et al.

For: CARBON FIBERS FORMED FROM  
SINGLE-WALL CARBON  
NANOTUBES

Atty Dkt: 11321-P012WOUS  
(formerly 002376.0875)

Serial No: 09/380,545

Filed: September 3, 1999

Group Art Unit: 1754

Examiner: Stuart Henderson  
703.308.2539

Assistant Commissioner for Patents  
Washington, DC 20231

CERTIFICATE OF MAILING (37 C.F.R. 1.8)

I hereby certify that this correspondence is being  
deposited with the U.S. Postal Service as First Class Mail  
in an envelope addressed to: Assistant Commissioner for  
Patents, Washington, DC 20231, on the date below.

7-19-01  
Date

Signature

Printed Name

SUBSTITUTE POWER OF ATTORNEY

Sir:

William Marsh Rice University, being the assignee of all right, title and interest in and to  
the above-identified patent application by means of an assignment recorded on December 22, 1999,  
on Reel 010644, Frame 0517, hereby revokes all powers of attorney previously granted with respect  
to the present application, and hereby appoints:

Ross S. Garsson, Reg. No. 38,150, Hugh R. Kress, Reg. No. 36,574; Robert  
C. Shaddox, Reg. No. 34,011; Henry L. Ehrlich, Reg. No. 39,663; and Timothy  
M. Donoughue, Reg. No. 46,668,

each an attorney with the firm of Winstead Sechrest & Minick, P.C., as its attorneys to prosecute  
the captioned application, and to transact all business in the Patent and Trademark Office connected  
therewith.

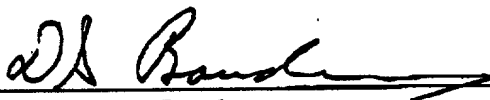
IN RE APPLICATION S.N. 09/380,545  
RICHARD E. SMALLEY ET AL  
SUBSTITUTE POWER OF ATTORNEY

Please address all future correspondence to:

Hugh R. Kress  
Winstead Sechrest & Minick, P.C.  
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713.650.2400 (fax)

William Marsh Rice University

Date: 7/17/01

  
By: Daryl S. Boudreaux  
Director, Office of Technology Transfer

HOUSTON\_1\504475\1  
07/18/2001 - 11321-P012WOUS

**DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION**

As the below named inventor, I hereby declare that:

My residence, post office address and citizenship is as stated below next to my name;

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**CARBON FIBERS FORMED FROM SINGLE-WALL CARBON NANOTUBES**

the specification of which:

☐

is attached hereto.

☒

was filed on:

September 3, 1999

as Application No.:

**09/380,545**

and was amended on

\_\_\_\_\_ (if applicable).

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56.

**Prior Foreign Application(s)**

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below any foreign application(s) for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Country	Application Number	Date of Filing (day, month, year)	Date of Issue (day, month, year)	Priority Claimed	
				Yes <input type="checkbox"/>	No <input type="checkbox"/>
				Yes <input type="checkbox"/>	No <input type="checkbox"/>
				Yes <input type="checkbox"/>	No <input type="checkbox"/>

**Prior Provisional Application(s)**

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application Number	Date of Filing (day, month, year)
60/040,152	03/07/97
60/055,037	08/08/97
60/063,675	10/29/97
60/064,531	11/05/97
60/067,325	12/05/97
60/047,854	05/29/97

**Prior United States Application(s)**

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

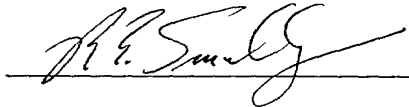
Application Number	Date of Filing (day, month, year)	Status - Patented, Pending, Abandoned
08/687,665	07/26/96	Pending

And I hereby appoint, both jointly and severally, as my attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith the following attorneys, their registration numbers being listed after their names:

Rodger L. Tate, Registration No. 27,399; Scott F. Partridge, Registration No. 28,142; Jerry W. Mills, Registration No. 23,005; Robert Neuner, Registration No. 24,316; James Remenick, Registration No. 36,902; James B. Arpin, Registration No. 33,470; Laurence H. Posorske, Registration No. 34,698; Floyd B. Chapman, Registration No. 40,555; Robert A. King, Registration No. 42,738; William F. Nixon, Registration No. 44,262; Andrew D. Skale, Registration No. 44,338; Robert L. Troike, Registration No. 24,183; Jay M. Cantor, Registration No. 19,906; and Jay B. Johnson, Registration No. 38,193.

All correspondence and telephone communications should be addressed to: Laurence H. Posorske, Esq., **Baker & Botts, L.L.P., The Warner, 1299 Pennsylvania Avenue, N.W., Washington, D.C. 20004-2400**, telephone number (202) 639-7700, facsimile number (202) 639-7890, which is also the address, telephone and facsimile numbers of each of the above listed attorneys.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine and imprisonment, or both, under 18 U.S.C. § 1001, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.


Signature  Date Nov 8, 1998

Full Name of First Inventor: SMALLEY Richard E.  
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11-4-99 11:46:00

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TOO MANY SHEETS

Signature



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Full Name of

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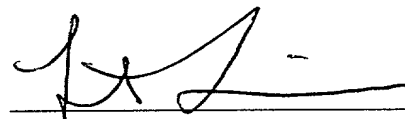
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Full Name of

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103221 5443001

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002376.0875



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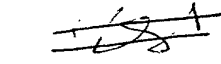
Signature  Date 11.4.99

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Signature  Date \_\_\_\_\_

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Full Name of Tenth Inventor: THESS Andreas  
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TO 02092#023760875# P.05/08

Attorney Docket No. 002376.0875

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Signature  Date 11.4.99

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Signature  Date \_\_\_\_\_

Full Name of  
Eighth Inventor: GUO Ting  
(Family Name) (First Given Name) (Second Given Name)

Citizenship: CHINA

Residence: 8176 Caminito Sonoma, La Jolla, CA 92037

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Address: Same as above

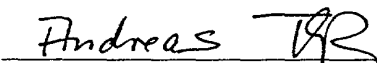
Signature  Date 11.8.99

Full Name of  
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Post Office  
Address: Same as above

ATTORNEY DOCKET NO.  
11321-P012WOUS

PATENT  
Application No. 09/380,545

-1-

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Application of:

Smalley et al.

Serial No.:

09/380,545

Filing Date:

Dec. 22, 1999

For:

**CARBON FIBERS FORMED  
FROM SINGLE-WALL  
CARBON NANOTUBES**

Examiner:

Not Yet Assigned

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

**CERTIFICATE OF FACSIMILE  
TRANSMISSION**

I hereby certify that this paper for Application, Registration  
and/or the paper identified herein is being facsimile  
transmitted to the Patent and Trademark Office fax number  
indicated below on the date indicated below.

Connie Crowe  
Signature

CONNIE CROWE  
Printed

6-30-00  
Date

703/308-7043  
Fax No.

**REVOCATION AND SUBSTITUTION OF POWER OF ATTORNEY**

William Marsh Rice University, the Assignee for the above-referenced patent application, pursuant to an Assignment document which was recorded in the United States Patent and Trademark Office on December 22, 1999, under Reel No. 010644 and Frame No. 0517, hereby revokes any and all prior Powers of Attorney executed in connection with the above-identified patent application, and hereby appoint:

Hugh R. Kress, Reg. 36,574  
Dwayne L. Mason, Reg. No. 38,959  
Robert C. Shaddox, Reg. No. 34,011

all of the firm of Winstead Sechrest & Minick, P.C., as our attorneys with full power of substitution and revocation, to prosecute said application and any continuations or divisions thereof, and to transact all business in the United States Patent and Trademark Office connected therewith, and to file and prosecute any international patent application filed thereon before any international authorities under the Patent Cooperation Treaty.

ATTORNEY DOCKET NO.  
11321-P012WOUS

PATENT  
Application No. 09/380,545

-2-

Please send all correspondence, papers and notices for all purposes to the address listed below:

Robert C. Shaddox  
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910 Travis, Suite 2400  
Houston, Texas 77002

and direct all telephone calls to Robert C. Shaddox (713) 650-2764. Please also note the attorney docket number: 11321-P012WOUS.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Dated: 6/30/00

WILLIAM MARSH RICE UNIVERSITY

By: \_\_\_\_\_

Joseph B Davidson  
JOSEPH B DAVIDSON

Printed Name

ASSOCIATE GENERAL COUNSEL

Title